



COPY

Attorney Docket No.: G08.015

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: YOUNG

Application No.: 10/074,583

Filing Date: February 12, 2002

For: AUTOMATED SECURITY
MANAGEMENT

)
)
) Group Art Unit: 2181

)
) Examiner: Not yet assigned

)
) **INFORMATION DISCLOSURE
STATEMENT**

)
) Attorney Docket No.: G08.015

)
) Buckley, Maschoff, Talwalkar & Allison LLC
) 5 Elm Street
) New Canaan, CT 06840
) (203) 972-0006
)

CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on July 8, 2002.

Dated: July 8, 2002

By:

Edith Martin
Edith Martin

Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b);
(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
- ☐ Statement under 37 CFR 1.97(e), or
 - ☐ \$ _ fee under 37 CFR 17(p); or
- (after 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e),
 - ☐ Petition under 37 CFR 1.97(d)(2)(ii), and
 - ☐ \$ _ petition fee under 37 CFR 17(i).

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(after 37 CFR 1.97(c) time period, but before payment of issue fee)


Applicant submits herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

Respectfully submitted,

July 8, 2002
Date



Joseph P. Kincart
Registration No. 43,716
Buckley, Maschoff, Talwalkar & Allison LLC
5 Elm Street
New Canaan, CT 06840



**SUPPLEMENTAL INFORMATION
DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number

10/074,583

Filing Date

February 12, 2002

First Named Inventor

YOUNG

Group Art Unit

2181

Examiner Name

Not yet assigned

Attorney Docket Number

G08.015

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

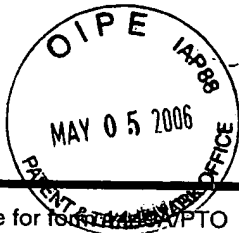
Examiner
Signature

Date _____

Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.



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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	10/074,583		
		Filing Date	February 12, 2002		
		First Named Inventor	YOUNG		
		Group Art Unit	2181		
		Examiner Name	Not yet assigned		
Sheet	2	of	2	Attorney Docket Number	G08.015

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	G	Banasiak, Michael "Don't Be Out-Scored by Your Competition", <u>Credit and Financial Management Review</u> , 2 nd Quarter 2000, 8pgs., download from http://www.paynetonline.com/viewpaf.asp on 4/15/2002. ©2000 Predictive Business Decision Systems, Inc.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.



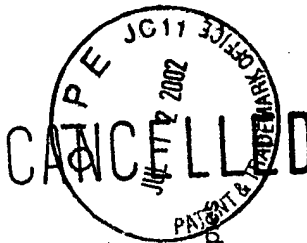
Date: 07/08/02
☒ (37 C.F.R. § 1.8)

Title: AUTOMATED SECURITY MANAGEMENT

Inventor: Carl Young

Enclosed herewith are:

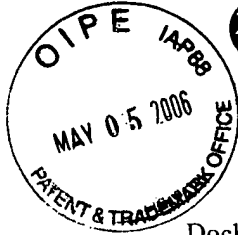
- ☐ Specification and Claims (____ pp.).
- ☐ ____ Sheets ☐ Formal ☐ Informal Drawings.
- ☐ Declaration and Power of Attorney ☐ Executed ☐ Unexecuted.
- ☐ Assignment and Recordation Form Cover Sheet.
- ☐ Check for \$_____.
- ☒ Information Disclosure Statement, Form PTO-1449 (2 pp.) and copy of 7 references.
- ☐ Transmittal Letter.
- ☐ Other (specify):



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Atty. Docket No.: G08.015
 Serial No.: 10/074.583
 Filing Date: 02/12/2002

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Docket No. 3499-223

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

Date:

11-10-03

Name:

Melissa Scanzillo

Signature:

Melissa Scanzillo
Clifford ChanceUS LLP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Carl Young

Filed: February 12, 2002

Group Art Unit: 2181

Serial No: 10/074,583

Examiner: to be determined

For: AUTOMATED SECURITY MANAGEMENT

2nd SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is Form PTO-1449 and a copy of the document listed thereon.

Applicants respectfully request the Examiner's consideration of the cited reference and entry into the record of this application and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104 and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Also enclosed is a Foreign Search Report issued on October 7, 2003 for a foreign counterpart of the present patent application, in which the presently disclosed references were cited. Since a translation of the Search Report is also enclosed, it is believed that the applicants in the above-identified patent application have now met the "concise explanation" requirement of 35 C.F.R. 1.98.

COPY

The present Information Disclosure Statement has been submitted prior to the receipt of an Office Action in this application. Accordingly, no fee is due. However, in the event that a first Office Action was mailed on or before the date of submission of this disclosure statement, the Commissioner is hereby authorized to charge any fees to deposit Account No. 50-0521.

Respectfully submitted,

Date:

Nov. 10, 2003

Joseph P. Kincart

Joseph P. Kincart

Reg. No. 43,716

Clifford Chance US LLP
200 Park Avenue
New York, NY 10166-0153
Telephone: (212) 878-3289



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FORM PTO-1449 U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Serial No. 10/074,583
	Inventors: Carl Young
	Docket No. 3499-223

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION

OTHER DOCUMENTS

EXAMINER INITIAL		AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
		Written Opinion dated October 7, 2003 for PCT/US03/03993

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Form PTO-1449 [6-4]



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POSTCARD (To Be Filed With A Response) 3499-223

PATENT APPLICATION FOR: Automated Security Attorney Docket No. _____

INVENTORS: Yung Management

SERIAL NO. 10/074,583 2-12-02 FILING DATE DATE MAILED: 7-16-03

THE FOLLOWING HAS BEEN RECEIVED IN THE U.S. P.T.O. ON THE DATE STAMPED HEREON:

_____ Missing Parts of Application Transmittal _____	_____ Certificate of Mailing (Express or Regular) _____
_____ Declaration _____	_____ Combined Declaration/Power of Attorney _____
_____ Power of Attorney _____	_____ Petition for Extension of Time _____
_____ Assignment + Fee \$ _____	_____ Small Entity Declaration _____
_____ Information Disclosure Statement <u>supp.</u> _____	_____ Recording Transmittal _____
_____ Request for Corrected Filing Receipt _____	_____ Form PTO 1449 with _____
_____ Amendment/Response _____	_____ Petition for Extension of Time, Fee \$ _____
_____ Issue Fee Transmittal and Advance Order Fee \$ _____	_____ Formal Drawings _____
_____ Extension of Time Fee \$ _____	_____ Amendment Transmittal _____
_____ Authorization to Charge Deposit Account <u>no fee</u> Amount _____	_____ Terminal Disclaimer _____

OTHER Int'l Search Report

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Date:

7-16-03

Name:

Melissa Scanzillo

Signature:

Clifford Chance US LLP

Clifford Chance US LLP

Docket No. 3499-223

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Carl Young

Filed: February 12, 2002

Group Art Unit: 2181

Serial No: 10/074,583

Examiner: to be determined

For: AUTOMATED SECURITY MANAGEMENT

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

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Also enclosed is a Foreign Search Report issued on June 2, 2003 for a foreign counterpart of the present patent application, in which the presently disclosed references were cited. Since a translation of the Search Report is also enclosed, it is believed that the applicants in the above-identified patent application have now met the "concise explanation" requirement of 35 C.F.R. 1.98.

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The present Information Disclosure Statement has been submitted prior to the receipt of an Office Action in this application. Accordingly, no fee is due. However, in the event that a first Office Action was mailed on or before the date of submission of this disclosure statement, the Commissioner is hereby authorized to charge any fees to deposit Account No. 50-0521.

Respectfully submitted,

Date: July 16, 2003

J.P. Kincart

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New York, NY 10166-0153
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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Serial No. 10/074,583
	Inventors: Carl Young
	Docket No. 3499-223

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,304,973	10/16/01	Williams	713	201	8/6/98

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION

OTHER DOCUMENTS

EXAMINER INITIAL		AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
		Int'l Search Report dated June 2, 2003 for PCT/US03/03993

EXAMINER	DATE CONSIDERED
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Form PTO-1449 [6-4]